

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Michael J. Kardauskas and Bernhard P. Piwczyk
Application No.: 10/691,452 Group: 1753
Filed: October 22, 2003 Examiner: Not Yet Assigned
Confirmation No.: 7331

For: DIFFRACTIVE STRUCTURES FOR THE REDIRECTION AND CONCENTRATION OF
OPTICAL RADIATION

CERTIFICATE OF MAILING OR TRANSMISSION	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, or is being facsimile transmitted to the United States Patent and Trademark Office or	
3/1/04 Date	<i>Julie Kertyzak</i> Signature
Julie Kertyzak Typed or printed name of person signing certificate	

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

This Information Disclosure Statement is submitted:

- ☐ under 37 CFR 1.129(a), or
(First/Second submission after Final Rejection)
- ☒ under 37 CFR 1.97(b), or
(Within any one of the following time periods: three months of filing national application (other than a CPA) or date of entry of the national stage in an international application; or before the mailing date of a first office action on the merits in a non-provisional application, including a CPA, or a Request for Continued Examination).
- ☐ under 37 CFR 1.97(c) together with either:
- ☐ a Statement under 37 CFR 1.97(e), as checked below, or
- ☐ a \$180.00 fee under 37 CFR 1.17(p), or
(After the 37 CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97(d) together with:
- ☐ a Statement under 37 CFR 1.97(e), as checked below, and
- ☐ a \$180.00 fee under 37 CFR 1.17(p), or
(Filed after final action or notice of allowance, whichever occurs first, but on or before payment of the issue fee)
- ☐ under 37 CFR 1.97(i):
Applicant requests that the IDS and cited reference(s) be placed in the application filewrapper.
(Filed after payment of issue fee)

Statement Under 37 CFR 1.97(e)

- ☐ Each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement; or
- ☐ No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned, after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Statement Under 37 CFR 1.704(d) (Patent Term Adjustment)

Applies to original applications (other than design) filed on or after May 29, 2000

- ☐ Each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in § 1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.
- ☒ Enclosed herewith is form PTO-1449:
- ☒ Copies of the cited references are enclosed.
- ☐ Since this application was filed after June 30, 2003, copies of issued U.S. patents and published U.S. applications are not required and are not being provided.
- ☐ Copies of the cited references are enclosed except those entered in prior application, U.S. Application No. [], to which priority under 35 U.S.C. 120 is claimed. [The earlier application contains copies of the cited references.]
- ☐ The listed references were cited in the enclosed International Search Report in a counterpart foreign application.
- ☒ The "concise explanation" requirement (non-English references) for reference(s) AN, AO under 37 CFR 1.98(a)(3) is satisfied by:
- ☐ the explanation provided on the attached sheet.
- ☐ the explanation provided in the Specification.
- ☐ submission of the enclosed International Search Report.
- ☐ submission of the enclosed English-language version of a foreign Search Report and/or foreign Office Action.
- ☒ the enclosed English language abstract.

☐ Applicant requests that the following non-published pending applications be considered:

Examiner's
Initials

____ U.S. Patent Application No. [], by [inventor(s)], filed [], Docket No.: []
____ U.S. Patent Application No. [], by [inventor(s)], filed [], Docket No.: []
____ U.S. Patent Application No. [], by [inventor(s)], filed [], Docket No.: []

Examiner

Date

- ☐ A copy of each above-cited application, including the current claims, is enclosed.
- ☐ A copy of each above-cited application, including the current claims, is enclosed, except those entered in prior application, U.S. Application No. [], to which priority under 35 U.S.C. 120 is claimed.

The Examiner is requested to return a copy of the above list of pending applications indicating which references were considered with the next office communication.

It is requested that the information disclosed herein be made of record in this application.

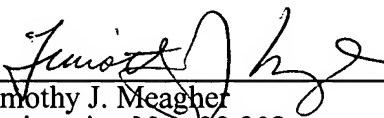
Method of payment:

- ☐ A check for the fee noted above is enclosed, or the fee has been included in the check with the accompanying Reply. A copy of this Statement is enclosed.
- ☐ Please charge Deposit Account 08-0380 in the amount of \$[]. A copy of this Statement is enclosed.
- ☒ Please charge any deficiency in fees and credit any overpayment to Deposit Account 08-0380.

Respectfully submitted,

HAMILTON, BROOK, SMITH & REYNOLDS, P.C.

By



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Concord, MA 01742-9133

Dated: 3/1/04

PTO-1449 REPRODUCED

ATTORNEY DOCKET NO.
3424.1000-002APPLICATION NO.
10/691,452INFORMATION DISCLOSURE CITATION
IN AN APPLICATIONFIRST NAMED INVENTOR
Michael J. KardauskasFILING DATE
October 22, 2003EXAMINER
Not Yet AssignedCONFIRMATION NO.
7331GROUP
1753

February 5, 2004

(Use several sheets if necessary)

U.S. PATENT DOCUMENTS

EXAM- INER INI- TIAL	REF. NO.	DOCUMENT NUMBER Number-Kind Code (if known)	ISSUE DATE / PUBLICATION DATE MM-DD-YYYY	NAME OF PATENTEE OR APPLICANT OF CITED DOCUMENT
	AA	2,904,612	09/15/1959	Regnier
	AB	3,018,313	01/23/1962	Gattone
	AC	4,042,417	08/16/1977	Kaplow <i>et al.</i>
	AD	4,053,327	10/11/1977	Meulenberg, Jr.
	AE	B1 4,116,718	06/07/1983	Yerkes <i>et al.</i>
	AI	4,162,928	07/31/1979	Shepard, Jr.
	AI	4,204,881	05/27/1980	McGrew
	AH	4,235,643	11/25/1980	Amick
	AI	4,313,023	01/26/1982	Stephens
	AJ	4,321,417	03/23/1982	Kurth <i>et al.</i>
	AK	4,691,994	09/08/1987	Afian <i>et al.</i>
	AA	4,751,191	08/16/1977	Gonsiorawski <i>et al.</i>
	AB2	4,863,224	09/05/1989	Afian <i>et al.</i>
	AC2	5,048,925	09/17/1991	Gerritsen <i>et al.</i>
	AD2	5,074,920	12/24/1991	Gonsiorawski <i>et al.</i>
	AE2	5,118,362	06/02/1992	St. Angelo <i>et al.</i>
	AF2	5,178,685	01/12/1993	Borenstein <i>et al.</i>
	AG2	5,268,985	12/07/1993	Ando <i>et al.</i>
	AH2	5,320,684	06/14/1994	Amick <i>et al.</i>
	AI2	5,478,402	12/26/1995	Hanoka
	AJ2	5,554,229	09/10/1996	Vogeli
	AK2	5,877,874	03/02/1999	Rosenberg
	AA3	5,994,641	11/30/1999	Kardauskas
	AB3	US 6,274,860 B1	08/14/2001	Rosenberg
	AC3	US 6,323,415 B1	11/27/2001	Uematsu <i>et al.</i>

EXAMINER

DATE CONSIDERED

PTO-1449 REPRODUCED INFORMATION DISCLOSURE CITATION IN AN APPLICATION February 5, 2004 (Use several sheets if necessary)	ATTORNEY DOCKET NO. 3424.1000-002	APPLICATION NO. 10/691,452	
	FIRST NAMED INVENTOR Michael J. Kardauskas		FILING DATE October 22, 2003
	EXAMINER Not Yet Assigned	CONFIRMATION NO. 7331	GROUP 1753

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER Country Code-Number-Kind Code (if known)	DATE MM-DD-YYYY	NAME OF PATENTEE OR APPLICANT OF CITED DOCUMENT	TRANSLATION YES NO	
	AL	PCT WO 99/56317	11/04/1999	Ase Americas, Inc.		X
	AM	PCT WO 93/08605	04/29/1993	United Solar Systems Corporation		X
	AN	JP 59152672	08/31/1984	Semiconductor Energy Lab Co. LTD	X	
	AO	JP 62-101247	06/27/1987		X	
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PTO-1449 REPRODUCED INFORMATION DISCLOSURE CITATION IN AN APPLICATION February 5, 2004 (Use several sheets if necessary)	ATTORNEY DOCKET NO. 3424.1000-002		APPLICATION NO. 10/691,452	
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	EXAMINER Not Yet Assigned	CONFIRMATION NO. 7331	GROUP 1753	

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)		
AR	Amick, J.A. and Kurth, W.T., "V-Groove Faceted Reflector for Enhanced Module Output," <i>RECORD OF IEEE PHOTOVOLTAIC SPECIALISTS CONFERENCE</i> , xp002176538, PPS. 1376-1381 (1981).	
AS	CADDET Japanese National Team, "Bigger Gaps Make PV Cells More Efficient," <i>CADDET Renewable Energy Newsletter</i> , 7-9 (1998).	
AT	Enguehard, S. <i>et al.</i> , "Computer Programs for Designing Diffractive Optics," http://www.nasatech.com/Briefs/Nov01/MFS31427.html 2 pages.	
AU	Kress, B. and Meyrueis, P., <i>Digital Diffractive Optics, An Introduction to Planar Diffractive Optics and Related Technology</i> , pps. 130-170 & 225-239 (2000).	
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